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IN THE U.S. PATENT & TRADEMARK OFFICE

Applicant(s): Timothy A. Gessert )  
Application Serial No.: 08/937,721 ) Art Group No.: 2812  
Filing Date: September 25, 1997 ) Examiner: S. Mulpuri  
Patent No.: ) Issued:  
Title: ) Atty. Dkt. No.: NREL 96-48  
Ion-Beam Treatment to Prepare Surfaces of p-CdTe )  
Films )

#15  
#16

REQUEST FOR REFUND  
(Under 37 C.F.R. § 1.28(a))

Assistant Commissioner for Patents  
Washington DC 20231

Attn: Refund Section, Accounting Division, Office of Finance

1. SUBMISSION OF SMALL ENTITY STATEMENT (*complete (a) or (b)*)

- (a) ☒ Attached is a statement claiming small entity status in this application.  
(b) ☐ A statement claiming small entity was filed in this application on \_\_\_\_\_

II. REFUND REQUEST

This request for refund is made within two months of the date a fee was paid in this application on August 23, 1999, in the amount of \$ 870.00

*Note: The two-month period (§ 1.28(a)) is not included in the provisions for extension under 37 CFR § 1.136 because it is not a period for response. Notice of November 30, 1989, 49 FR 548, January 4, 1984, 37 CFR § 1.28(a).*

III. FEES PAID FOR WHICH REFUND REQUESTED

	Amount of Refund Requested
<input type="checkbox"/> Filing fee	\$ _____
<input type="checkbox"/> Surcharge for filing the basic filing fee on a date later than the filing date of the application (37 CFR § 1.16(e) or 37 CFR § 1.16(l))	\$ _____

- ☐ Surcharge for filing the oath or declaration on a date later than the filing date of the application (3 7 CFR § 1.16(e)) \$ \_\_\_\_\_
- ☐ Surcharge for filing the basic filing fee on a date later than the filing date of the provisional application (3 7 CFR § § 1.5 1(c)(1) and 1.16(l)) \$ \_\_\_\_\_
- ☐ Surcharge for filing the cover sheet on a date later than the filing date of the provisional application (3 7 CFR § § 1.51(c)(1) and 1.16(l)) \$ \_\_\_\_\_
- ☒ Extension of term \$ \_\_\_\_\_
- ☐ first month \$ \_\_\_\_\_
- ☐ second month \$ \_\_\_\_\_
- ☒ third month \$ 435.00
- ☐ fourth month \$ \_\_\_\_\_
- ☐ fifth month \$ \_\_\_\_\_
- ☐ Excess claims \$ \_\_\_\_\_
- ☐ Petition fee \$ \_\_\_\_\_
- ☐ Issue fee \$ \_\_\_\_\_
- ☐ Patent maintenance fee \$ \_\_\_\_\_
- ☐ First maintenance fee \$ \_\_\_\_\_
- ☐ Second maintenance fee \$ \_\_\_\_\_
- ☐ Third maintenance fee \$ \_\_\_\_\_
- ☐ Patent maintenance fee surcharge \$ \_\_\_\_\_

*Note: The refund provisions of § 1.28(a), for later submitted small entity statements, apply to maintenance fees. Notice of July 30, 1984, 1046 O.G. 28-37.*

- ☐ Other \$ \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

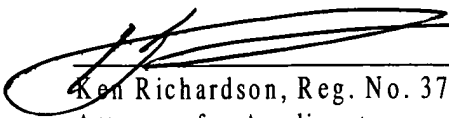
TOTAL REFUND REQUESTED \$ 435.00

#### IV. MANNER OF REFUND

Please make refund by

- ☒ Crediting Account No. 14-0460  
☐ Refunding overpayment

Dated: October 7, 1999

  
Ken Richardson, Reg. No. 37,378  
Attorney for Applicants

National Renewable Energy Laboratory  
1617 Cole Boulevard  
Golden, CO 80401  
303/384-7576

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 11.91(f) & 1.27(d))-NONPROFIT ORGANIZATION**

Docket Number (Optional)  
**NREL 96-48**

Applicant, Patentee, or Identifier: Timothy A. Gessert  
Application or Patent No.: 08/937,721  
Filed or Issued: Filed September 25, 1997  
Title: Ion-Beam Treatment to Prepare Surfaces of p-CdTe Films

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION Midwest Research Institute  
ADDRESS OF NONPROFIT ORGANIZATION 425 Volker Blvd.  
Kansas City, Mo 64110

**TYPE OF NONPROFIT ORGANIZATION:**

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
- ☒ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE Missouri)  
(CITATION OF STATUTE 26 U.S.C. 501(a) and 501(c)(3))
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  
IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.
- ☒ the application identified above.
- ☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
- ☒ each such person, concern, or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Ken Richardson  
TITLE IN ORGANIZATION OF PERSON SIGNING Assistant Chief Patent Counsel  
ADDRESS OF PERSON SIGNING NREL, 1617 Cole Blvd., Golden, CO 80401  
SIGNATURE \_\_\_\_\_ DATE October 7, 1999

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

RECEIPT ACCOUNTING  
DIVISION